In re App	lication of:	
Та	ne Hong Kim	Examiner: TBA
	ication No.: PCT/KR05/000134 ) lication No. 10/585,602 )	Group Art Unit: TBA  Confirmation No.: 8802
Internatio U.S. Filin	onal Filing Date: January 14, 2005 ) g Date: July 11, 2006 )	
For:	Apparatus and Method for Dualizing) An Asynchronous Transfer Mode) (ATM) Router In A CDMA 2000))	

Mail Stop PCT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

System

### TRANSMITTAL LETTER

Dear Sir:

On June 20, 2007, Applicants filed a Petition Under 37 C.F.R. §1.47(b) to file an application on behalf of Tae Hong Kim, whom we have been unable to locate. On July 6, 2007, the Office mailed a Decision on Petition dismissing this petition because several exhibits were not received. PAIR reflects that only the first 11 pages of our submission was scanned. Our records indicate, however, that the Office did receive the entire filing, including all exhibits. We file this Renewed Petition, which is a copy in its entirety of the previously submitted Petition, in response to the Decision on Petition.

- 1. We are transmitting herewith the attached:
  - a) Copy of Return Receipt Postcard received by the USPTO on June 20, 2007;
  - b) Copy of the Decision on Petition Under 37 C.F.R. § 1.47(B), mailed July 6, 2007;
  - c) Renewed Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest To File Application On Behalf Of Inventor Who We Have Been Unable To Locate;
  - d) Copy of Transmittal Letter dated June 20, 2007;
  - e) Copy of Notification of Missing Requirements mailed March 16, 2007;
  - f) Copy of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest To File Application On Behalf Of Inventor Who We Have Been Unable To Locate dated June 20, 2007:
  - g) Copy of Declaration and Power of Attorney signed by Robert J. Irvine III, a person authorized by UTStarcom, Inc to sign on its behalf;

- h) Copy of Statement Establishing Proprietary Interest By Person Signing on Behalf of Nonsigning Inventor and Statement Under 37 C.F.R. § 3.73(B), including exhibits;
- i) Copy of Declaration In Support Of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest To File Application On Behalf Of Inventor, signed by Jiwon Lim, including exhibits;
- j) Copy of Memorandum of Law in Support of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest to File Application on Behalf of Inventor;
- k) Copy of Declaration in Support of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest to File Application on Behalf of Inventor, signed by Joo-Young Kim, including exhibits;
- I) Copy of Petition for Extension of Time (for initial Petition) dated June 20, 2007; and m) Return Receipt Postcard.
- 2. With respect to fees:
  - a) No fees are due at this time.
  - b) Please charge any underpayment or credit any overpayment to our Deposit Account No. 13-2490.
- 3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.10: The undersigned hereby certifies that this Transmittal Letter and the papers, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as "Express Mail Post Office to Addressee," addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 18, 2007 under Express Mail Certificate No. EV839329735US.

Date: July 18 2007

Respectfully submitted,

Robert J. Irvine III

Registration No. 41,865

### IAP15 Rec'd PCT/PTO 20 JUN 2007

Hon Commissioner of

S/N: 10/585,602

RJI/MMI Case No 05-507-8

Patents and Trademarks Re: Applicant - Tae Hong Kim

APPARATUS AND METHOD FOR DUALIZING AN ASYNCHRONOUS TRANSFER MODE (ATM) ROUTER IN A COMA 2000 SYSTEM Sir.

Please place the Patent Office receipt stamp hereon and mail to acknowledge receipt of:

1. Transmittal Letter in duplicate;

- Copy of Notification of Missing Requirements mailed March 16, 2007;
  Petition Under 37 C F R 1.47(B);
  Declaration and Power of Attorney signed by Robert J Irvine III;
  Statement Establishing Proprietary Interest by Person Signing on Behalf of Nonsigning Inventor;
- Declaration in Support of Petition signed by Jiwon Lim;
- Memorandum of Law in Support of Petition;
  Declaration in Support of Petition signed by Joo-Young Kim;
  Petition for Extension of Time;
- 10 Check in the amount of \$650 00

Fee Enclosed

\$ 650.00

Date Mailed: June 20, 2007

Respectfully, McDonnell Boehnen Hulbert & Berghoff LLP Attorney for Applicant

**SUSSLESELERA** 



0 6 JUL 2007

Commissioner for Patents United States Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450

McDonnel Boehnen Hulbert & Berghorff, LLP 300 South Wacker Drive 32<sup>nd</sup> Floor Chicago, IL 60606

.uu. 1 0 2007

DOCKETED

DUE DATE: K

In re Application of KIM, TAE HONG

Application No.: 10/585,602 PCT No.: PCT/KR05/00134

Int. Filing Date: 14 January 2005 Priority Date: 15 January 2004 Attorney Docket No.: 05-507-B

For: APPARATUS AND METHOD FOR

DUALIZING AN ASYNCHRONOUS TRANSFER MODE (ATM) ROUTER IN

A CDMA 2000 SYSTEM

**DECISION ON PETITION** 

This decision is in response to applicant's "Petition under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor Who We Have Been Unable to Locate" filed 20 June 2007 to accept the application without the signature of inventor, Tae Hong Kim. The petition fee has been submitted.

#### BACKGROUND

On 14 January 2005, applicant filed international application PCT/KR05/00134 which claimed a priority date of 15 January 2004. A copy of the international application was communicated to the United States Patent and Trademark Office from the International Bureau on 01 September 2005. Pursuant to 37 CFR 1.495, the deadline for payment of the basic national fee was to expire on 15 August 2006.

On 11 July 2006, applicant filed a transmittal for entry into the national stage in the United States, which accompanied by, inter alia: the requisite basic national fee as required by 35 U.S.C. 371(c)(1); a copy of the international application; and a copy of the international search report.

On 16 March 2007, the United States Designated/Elected Office mailed "Notification of Missing Requirements under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)" (Form PCT/DO/EO/905) indicating that an oath or declaration in compliance with 37 CFR 1.497(a) and (b) was required.

On 20 June 2007, applicant filed the present petition under 37 CFR 1.47(b).

Application No.: 10/585,602

#### **DISCUSSION**

A petition under 37 CFR 1.47(b) must be accompanied by: (1) the requisite petition fee under 37 CFR 1.17(i); (2) factual proof that the inventor refuses to execute the application or cannot be reached after diligent effort; (3) a statement of the last known address of the nonsigning inventor; (4) an oath or declaration executed by the 37 CFR 1.47(b) applicant on behalf of and as agent for the nonsigning inventor; (5) proof of proprietary interest in the application; and, (6) a showing that such action is necessary to preserve the rights of the parties or to prevent irreparable damages. Items (1); (3); (4) and (6) under 37 CFR 1.47(b) have been satisfied.

Regarding item (2) above, petitioner states that Tae Hong Kim cannot be found or reached after diligent effort. Section 409.03(d) of the Manual of Patent Examining Procedure (M.P.E.P.), **Proof of Unavailability or Refusal**, states, in part:

Where inability to find or reach a nonsigning inventor "after diligent effort" is the reason for filing under 37 CFR 1.47, an affidavit or declaration of facts should be submitted that fully describes the exact facts which are relied on to establish that a diligent effort was made.

The fact that a nonsigning inventor is on vacation or out of town and is therefore temporarily unavailable to sign the declaration is not an acceptable reason for filing under 37 CFR 1.47. Such a petition will be dismissed as inappropriate.

The affidavit or declaration of facts must be signed, where at all possible, by a person having firsthand knowledge of the facts recited therein. Statements based on hearsay will not normally be accepted. Copies of documentary evidence such as certified mail return receipt, cover letter of instructions, telegrams, etc., that support a finding that the nonsigning inventor could not be found or reached should be made part of the affidavit or declaration. It is important that the affidavit or declaration contain statements of fact as opposed to conclusions.

Where a refusal of the inventor to sign the application papers is alleged, the circumstances of this refusal must be specified in an affidavit or declaration by the person to whom the refusal was made. Statements by a party not present when an oral refusal is made will not be accepted.

A review of the present petition reveals that applicants have not provided an acceptable showing that a diligent effort was made to reach the non-signing inventor, Tae Hong Kim. No documentary evidence to support the attempt(s) was provided with the declaration. It is noted that the "Declaration in Support of Petition under 37 CFR 1.47(b) . . . signed by Joo-Young Kim" was not included with the present petition.

Concerning item (5), petitioner has not demonstrated that applicant has a propriety

Application No.: 10/585,602

interest in the invention. It is noted that the "Memorandum of Law in Support of Petition under 37 CFR 1.47(b). . . signed by Joo-Young Kim" was not included with the present petition.

For the reasons stated above, it would not be appropriate to accept the application without the signature of Tae Hong Kim under 37 CFR 1.47(b) at this time.

#### CONCLUSION

The petition under 37 CFR 1.47(b) is **DISMISSED** without prejudice.

If reconsideration on the merits of this petition is desired, a proper response must be filed within **TWO (2) MONTH** from the mail date of this decision. Any reconsideration request should include a cover letter entitled "Renewed Petition Under 37 CFR 1.47(b)." No additional petition fee is required.

Any further correspondence with respect to this matter should be addressed to: Mail Stop PCT, Commissioner for Patents, Office of PCT Legal Administration, P.O. Box 1450, Alexandria, Virginia 22313-1450, with the contents of the letter marked to the attention of the Office of PCT Legal Administration.

HAKTENALIMAN

Anthony Smith
Attorney-Advisor

Office of PCT Legal Administration

Tel.: (571) 272-3298 Fax: (703) 273-0459

Mail Stop PCT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

System

#### TRANSMITTAL LETTER

#### Sir/Madam:

In regard to the above identified application.

(ATM) Router In A CDMA 2000

- 1. We are transmitting herewith the attached:
  - a) Copy of Notification of Missing Requirements mailed March 16, 2007;
  - b) Petition Under 37 C.F.R. § 1.47(b) By Person Having Proprietary Interest To File Application On Behalf Of Inventor Who We Have Been Unable To Locate;
  - c) Declaration and Power of Attorney signed by Robert J. Irvine III, a person authorized by UTStarcom, Inc to sign on its behalf;
  - d) Statement Establishing Proprietary Interest By Person Signing on Behalf of Nonsigning Inventor and Statement Under 37 C.F.R. § 3.73(b), including exhibits;
  - e) Declaration In Support Of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest To File Application On Behalf Of Inventor, signed by Jiwon Lim, including exhibits;
  - f) Memorandum of Law in Support of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest to File Application on Behalf of Inventor;
  - g) Declaration in Support of Petition Under 37 C.F.R. § 1.47(B) By Person Having Proprietary Interest to File Application on Behalf of Inventor, signed by Joo-Young Kim, including exhibits;
  - h) Petition for Extension of Time;
  - i) Check in the amount of \$650.00; and
  - i) Return Receipt Postcard.
- 2. With respect to fees:
  - a) A check in the amount of \$650.00 is enclosed (\$200.00 for the Petition as set forth under 37 C.F.R. § 1.17(g) and \$450.00 for the two-month extension of time fee).

- b) Please charge any underpayment or credit any overpayment to our Deposit Account No. 13-2490.
- 3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.10: The undersigned hereby certifies that this Transmittal Letter and the papers, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as "Express Mail Post Office to Addressee," addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 20, 2007 under Express Mail Certificate No. EV839329752US.

Date: June 20, 2007

Respectfully submitted,

Robert J. (Irvine III

Registration No. 41,865



#### United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450 www.upto.gov

ATTY. DOCKET NO. FIRST NAMED APPLICANT U.S. APPLICATION NUMBER NO.

Tae Hong Kim 10/585,602

05-507-B

INTERNATIONAL APPLICATION NO.

PCT/KR05/00134

I.A. FILING DATE

PRIORITY DATE

01/14/2005

01/15/2004

20306 MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP 300 S. WACKER DRIVE 32ND FLOOR CHICAGO, IL 60606

DOCKETED

MAR 2 1 2007

DUE DATE: 5-16-07

**CONFIRMATION NO. 8802** 

371 FORMALITIES LETTER

\*OC000000022898843\*

Date Mailed: 03/16/2007

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 07/11/2006
- Copy of the International Search Report filed on 07/11/2006
- U.S. Basic National Fees filed on 07/11/2006
- Specification filed on 07/11/2006
- Claims filed on 07/11/2006
- Abstracts filed on 07/11/2006
- Drawings filed on 07/11/2006

The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

• Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION. WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web. https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <a href="http://www.uspto.gov/ebc.">http://www.uspto.gov/ebc.</a>

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

#### PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/585,602	PCT/KR05/00134	05-507-B

FORM PCT/DO/EO/905 (371 Formalities Notice)

In re Applica	ation of:	
Tae H	Hong Kim	Examiner: TBA
• •	tion No.: PCT/KR05/000134 )	Group Art Unit: TBA
	I <b>Filing Date:</b> January 14, 2005 )	Confirmation No.: 8802
For:	Apparatus and Method for Dualizing ) An Asynchronous Transfer Mode ) (ATM) Router In A CDMA 2000 ) System	

Mail Stop PCT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

# RENEWED PETITION UNDER 37 C.F.R. § 1.47(b) BY PERSON HAVING PROPRIETARY INTEREST TO FILE APPLICATION ON BEHALF OF INVENTOR WHO WE HAVE BEEN UNABLE TO LOCATE

Dear Sir:

On June 20, 2007, Applicants filed a Petition Under 37 C.F.R. §1.47(b) to file an application on behalf of Tae Hong Kim, whom we have been unable to locate. On July 6, 2007, the Office mailed a Decision on Petition dismissing this petition because several exhibits were not received. PAIR reflects that only the first 11 pages of our submission was scanned. Our records indicate, however, that the Office did receive the entire filing, including all exhibits. We file this Renewed Petition, which is a copy in its entirety of the previously submitted Petition, in response to the Decision on Petition.

Pursuant to 37 C.F.R. § 1.47(b), UTStarcom, Inc., the owner of *UTStarcom Korea Limited*, and the assignee in fact of the above-identified patent application, submits this Renewed Petition and respectfully requests the U.S. Patent Office to allow UTStarcom, Inc, to make the Application on behalf of inventor Tae Hong Kim who we have been unable to locate.

This Renewed Petition is being submitted with:

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- (i) Declaration and Power of Attorney signed by Robert J. Irvine, III, a person authorized by UTStarcom, Inc to sign on its behalf;
- (ii) Statement Establishing Proprietary Interest By Person Signing on Behalf of Nonsigning Inventor and Statement Under 37 C.F.R. § 3.73(b);
- (iii) Declaration in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor, signed by Joo-Young Kim;
- (iv) Memorandum of Law in Support of Petition Under 37 CFR 1.47(b) By

  Person Having Proprietary Interest to File Application on Behalf of Inventor,
  including exhibits, signed by Joo-Young Kim; and
- (v) Declaration in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of a Nonsigning Inventor, including exhibits, signed by Jiwon Lim.

The last known address of inventor Tae Hong Kim, who is a citizen of Korea, is:

San 136-1 Ami-ri, Bubal-eub Icheon-si, Gyeonggi-do 467-860 Republic of Korea

UTStarcom, Inc. respectfully submits that it has been unable to locate inventor Tae Hong Kim. Every attempt to obtain Tae Hong Kim's signature has been unsuccessful. As evidenced by the accompanying declaration of Jiwon Lim, continuous and diligent efforts have been made to obtain Tae Hong Kim's signature on declarations for this case. Based on such diligent efforts to obtain Tae Hong Kim's signature on the declaration for this case, and based on the fact that, even without Mr. KIM's signature, UTStarcom, Inc. is the owner of the

present application, as demonstrated by Joo-Young Kim's Memorandum of Law in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor and Joo-Young Kim's Declaration in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor (attached), we believe that the requirements of 37 C.F.R. § 1.47(b) and MPEP § 409.03 have been met.

Filing of the application without Oath or Declaration executed by Tae Hong Kim is necessary to preserve the rights of Applicant UTStarcom, Inc. Applicant UTStarcom, Inc. will suffer irreparable harm if not allowed to apply for a patent for the above-referenced Application because the United States Patent and Trademark Office will hold the present Application abandoned if it is without an executed Oath or Declaration.

No further fee is believed due. Please credit any overpayment, or charge any underpayment to deposit account 13-2490.

Respectfully submitted,

Date:

Robert J. Irvine/III Reg. No. 41,865

McDonnell Boehnen Hulbert & Berghoff LLP

300 South Wacker Drive, Ste. 3100

Chicago, II 60606 Tel: 312 913 - 0001 Fax: 312 913 - 0002

In re App	lication of:		)
Tae Hong Kim			) Examiner: TBA
	lication No.: PC	) Group Art Unit: TBA	
International Filing Date: January 14, 2005 ) U.S. Filing Date: July 11, 2006 )			Confirmation No.: 8802
For:	Apparatus and Method for Dualizing An Asynchronous Transfer Mode (ATM) Router In A CDMA 2000 System		) ) ) )

Mail Stop PCT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

# PETITION UNDER 37 C.F.R. § 1.47(b) BY PERSON HAVING PROPRIETARY INTEREST TO FILE APPLICATION ON BEHALF OF INVENTOR WHO WE HAVE BEEN UNABLE TO LOCATE

Dear Sir:

Pursuant to 37 C.F.R. § 1.47(b), UTStarcom, Inc., the owner of *UTStarcom Korea Limited*, and the assignee in fact of the above-identified patent application, submits this Petition and respectfully requests the U.S. Patent Office to allow UTStarcom, Inc, to make the Application on behalf of inventor Tae Hong Kim who we have been unable to locate.

This Petition is being submitted with:

- (i) Declaration and Power of Attorney signed by Robert J. Irvine, III, a person authorized by UTStarcom, Inc to sign on its behalf;
- (ii) Statement Establishing Proprietary Interest By Person Signing on Behalf of Nonsigning Inventor and Statement Under 37 C.F.R. § 3.73(b);
- (iii) Declaration in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor, signed by Joo-Young Kim;
- (iv) Memorandum of Law in Support of Petition Under 37 CFR 1.47(b) By

  Person Having Proprietary Interest to File Application on Behalf of Inventor,
  including exhibits, signed by Joo-Young Kim; and
- (v) Declaration in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of a Nonsigning Inventor, including exhibits, signed by Jiwon Lim.

The last known address of inventor Tae Hong Kim, who is a citizen of Korea, is:

San 136-1 Ami-ri, Bubal-eub Icheon-si, Gyeonggi-do 467-860 Republic of Korea

UTStarcom, Inc. respectfully submits that it has been unable to locate inventor Tae Hong Kim. Every attempt to obtain Tae Hong Kim's signature has been unsuccessful. As evidenced by the accompanying declaration of Jiwon Lim, continuous and diligent efforts have been made to obtain Tae Hong Kim's signature on declarations for this case. Based on such diligent efforts to obtain Tae Hong Kim's signature on the declaration for this case, and based on the fact that, even without Mr. KIM's signature, UTStarcom, Inc. is the owner of the present application, as demonstrated by Joo-Young Kim's Memorandum of Law in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor and Joo-Young Kim's Declaration in Support of Petition Under 37 CFR 1.47(b) By Person Having Proprietary Interest to File Application on Behalf of Inventor (attached), we believe that the requirements of 37 C.F.R. § 1.47(b) and MPEP § 409.03 have been met.

Filing of the application without Oath or Declaration executed by Tae Hong Kim is necessary to preserve the rights of Applicant UTStarcom, Inc. Applicant UTStarcom, Inc. will suffer irreparable harm if not allowed to apply for a patent for the above-referenced Application because the United States Patent and Trademark Office will hold the present Application abandoned if it is without an executed Oath or Declaration.

This Petition is being submitted with the fee set forth in 37 C.F.R. § 1.17(g), which is currently set at \$ 200.00.

Respectfully submitted,

Date: June 20, 2007

Robert J. Wine, III Reg. No. 41,865

McDonnell Boehnen Hulbert & Berghoff LLP 300 South Wacker Drive, Ste. 3100

Chicago, Il 60606 Tel: 312 913 – 0001

Fax: 312 913 – 0002